



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/971,114	10/05/2001	Sean P. Willems	P 274056

00909  
PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102



CONFIRMATION NO. 1004  
FORMALITIES LETTER



\*OC000000006999971\*

Date Mailed: 10/31/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$6084.
  - \$5580 for 310 total claims over 20.
  - \$504 for 6 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 6954.

*A copy of this notice MUST be returned with the reply.*

MD

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/31/2001 SSANDARA 00000007 09971114  
01 FC:101 740.00 OP  
02 FC:102 504.00 OP  
03 FC:103 5580.00 OP  
04 FC:105 130.00 OP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

See 507  
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FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION

COMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): WILLEMS et al.

Attn: Application Division

Appln. No.: 09	971,114	Atty. Dkt. P	274056	
Series Code ↑	Serial No. ↑		M#	Client Ref

Filed: October 5, 2001

Title: SYSTEM AND METHOD FOR DETERMINING THE OPTIMUM CONFIGURATION STRATEGY FOR SYSTEMS WITH MULTIPLE DECISION OPTIONS

Hon. Commissioner of Patents  
Washington, DC 20231

Date: December 28, 2001

Sir:  
The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
  - a. ☐ Abstract
  - b. #  pages of Specification (only spec. & claims)
  - c. ☐ Drawing(s) ☐ Fig(s).

No of Sheets

4. ☐ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/238,124	6 October 2000	(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(f)

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☒ Attached: Information Disclosure Statement, Form PTO-1449 and listed documents
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee .....				Design Application	\$330/\$165	106/26
				Not Design Application	\$740/\$370	101/201
14. Total Effective Claims	330	minus 20 =	310	x \$18/\$9	+5580	103/203
15. Independent Claims	9	minus 3 =	6	x \$84/\$42	+504	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18. <b>FILING FEE ENCLOSED =</b>					<b>\$6954</b>	
19. <b>Original due date:</b> December 31, 2001						
20. <b>Petition is hereby made</b> to extend the <u>original</u> due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	+0 115/215
				(2mos)	\$400/\$200 =	116/216
				(3mos)	\$920/\$460 =	117/217
				(4mos)	\$1,440/\$720 =	118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee .....				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee .....				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. <b>TOTAL FEE ENCLOSED =</b>					<b>\$6994</b>	

Our Deposit Account No. 03-3975

Our Order No. 82106

274056

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

1600 Tysons Boulevard  
 McLean, VA 22102  
 Tel: (703) 905-2000

By Atty: Jack S. BarufkaReg. No. 37087Sig: 

Fax: (703) 905-2500  
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Atty/Sec: JSB/rsp

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**